

**Secretarial Compliance Report  
of Regent Enterprises Limited  
for the Financial year ended on March 31, 2022**

To,  
The Members,  
Regent Enterprises Limited

I, Vijay Sharma Prop. of M/s. Sharma Vijay & Associates have examined:

- (a) all the documents and records made available to us and explanation provided by Regent Enterprises Limited ("the listed entity"),
- (b) the filings/ submissions made by the listed entity to the stock exchanges,
- (c) website of the listed entity,
- (d) any other document/ filing, as may be relevant, which has been relied upon to make this certification,

for the year ended on **March 31, 2022** ("Review Period") in respect of compliance with the provisions of :

- (a) the Securities and Exchange Board of India Act, 1992 ("SEBI Act") and the Regulations, circulars, guidelines issued thereunder; and
- (b) the Securities Contracts (Regulation) Act, 1956 ("SCRA"), rules made thereunder and the Regulations, circulars, guidelines issued thereunder by the Securities and Exchange Board of India ("SEBI");

The specific Regulations, whose provisions and the circulars/ guidelines issued thereunder, have been examined, include:-

- (a) Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015;
- (b) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018;
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; NA
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; NA
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; NA

- (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013; NA
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (i) Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018  
and circulars/ guidelines issued thereunder;

and based on the above examination, I hereby report that, during the Review Period:

- (a) The listed entity has complied with the provisions of the above Regulations and circulars/ guidelines issued thereunder, except in respect of matters specified below:-

S. No.	Compliance Requirement (Regulations/ circulars / guidelines including specific clause)	Deviations	Observations/ Remarks of the Practicing Company Secretary
1.	Non Submission of Shareholding pattern for the quarter ended on September 30, 2021 under <b>Regulation 31 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.</b>	-	The company has made all the said compliances.
2.	Non Submission of Report on Investor Grievances for the quarter ended on September 30, 2021 under <b>Regulation 13 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.</b>	-	The company has made all the said compliances.
3.	Non Submission of Reconciliation of share capital audit report for the quarter ended on June 30, 2021 and September 30, 2021 under <b>Regulation 76 of SEBI (Depositories and Participants) Regulations, 2018.</b>	-	The company has made all the said compliances.
4.	Not having Company secretary of the company for the quarter ended on June 30, 2021 and September 30, 2021 under <b>Regulation 6 of SEBI (Listing</b>	-	The company was having the Company Secretary during said period and the company has also

	<b>Obligations and Disclosure Requirements) Regulations, 2015</b>		received the waiver of fine levied by BSE for the quarter ended on June 30, 2021. The application for the waiver for September Quarter is under process in Stock exchange.
5.	Not having Registrar and Share Transfer Agent of the company for the quarter ended on June 30, 2021 and September 30, 2021 <b>under Regulation 7 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015</b>	-	The company was having the Registrar and Share Transfer during said period and the company has also received the waiver of fine levied by BSE for the quarter ended on June 30, 2021. The application for the waiver for September Quarter are under process in Stock exchange.
6.	Notice for shifting of scrip of company to 'Z' / 'ZP' / 'ZY'/MT' group for non submission of Reconciliation of share capital audit report for the quarter ended on June 30, 2021 and September 30, 2021 <b>Pursuant to SEBI Circular No. SEBI/HO/CFD/CMD/CIR/P/2020/12 dated January 22, 2020.</b>	-	The compliance was made within the time prescribed into the said notice and the scrip was not shifted to the Z category.

(b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder insofar as it appears from my/our examination of those records.

(c) The following are the details of actions taken against the listed entity/ its promoters/ directors/ material subsidiaries either by SEBI or by Stock Exchanges (including under the Standard Operating Procedures issued by SEBI through various circulars) under the aforesaid Acts/ Regulations and circulars/ guidelines issued thereunder:

Sr. No.	Action taken by	Details of violation	Details of action taken E.g. fines, warning letter, debarment, etc.	Observations/ remarks of the Practicing Company Secretary, if any.
1.	BSE	Non Submission of Shareholding pattern for the quarter ended on September 30, 2021.	Fines levied by BSE on Listed Entity.	The company has made all the said compliances and made the applications to the BSE for waiver of fine levied.
		Non Submission of Report on Investor Grievances for the quarter ended on September 30, 2021.	Fines levied by BSE on Listed Entity.	
		Non Submission of Reconciliation of share capital audit report for the quarter ended on June 30, 2021 and September 30, 2021.	Fines levied by BSE on Listed Entity.	
		Not having Company secretary of the company for the quarter ended on June 30, 2021 and September 30, 2021.	Fines levied by BSE on Listed Entity.	
		Not having Registrar and Share Transfer Agent of the company for the quarter ended on June 30, 2021 and September 30, 2021.	Fines levied by BSE on Listed Entity.	

		Notice for shifting of scrip of company to 'Z' / 'ZP' / 'ZY' / MT group for non submission of Reconciliation of share capital audit report for the quarter ended on June 30, 2021 and September 30, 2021.	Warning Letter issued to Listed Entity.	The compliance was made within the time prescribed into the said notice and the scrip was not shifted to the Z category.
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(d) The listed entity has taken the following actions to comply with the observations made in previous reports:

Sr. No.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended...	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
-----None-----				

For Sharma Vijay & Associates

Place : Hisar  
Date : 09<sup>th</sup> May, 2022

CS Vijay Sharma  
(Proprietor)  
C.P. No. 19035, ACS:45793  
UDIN: **A045793D0002927**

\*Disclaimer Note: During this challenging time of COVID 19 outbreak this report has been undertaken to the best of my capability based on of e verification of scans, soft copies, information, confirmations, records and documents made available to me by the management.